U.S. Department of Energy

Advanced Notification of Awards (ANA) User Guide

A service of iManage

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Introduction

The **Advanced Notification of Award** (ANA) system was designed to facilitate the ability of Buyers, Program Offices (PO), and Office of Congressional and Intergovernmental Affairs (CI) to review, update, and ultimately approve or reject using the Congressional Grant/Contract Notification (DOE F 4220.10) Forms.

Approval Process Overview

The primary focus of ANA is to streamline the approval process of a 4220.10 form. A Buyer, PO and CI are required to complete the review. All parties shall review notifications for accuracy and completeness of data recorded in the STRIPES system and transferred to IDW/iPortal. The approval process flow is shown below; the paths for rejecting a form for various reasons will be discussed in the **Rejecting Notifications** section.

Role Descriptions

Listed below are the key stakeholders for the notifications within the ANA workflow. Each will serve as a vital part in the approval process of the 4220.10 form.
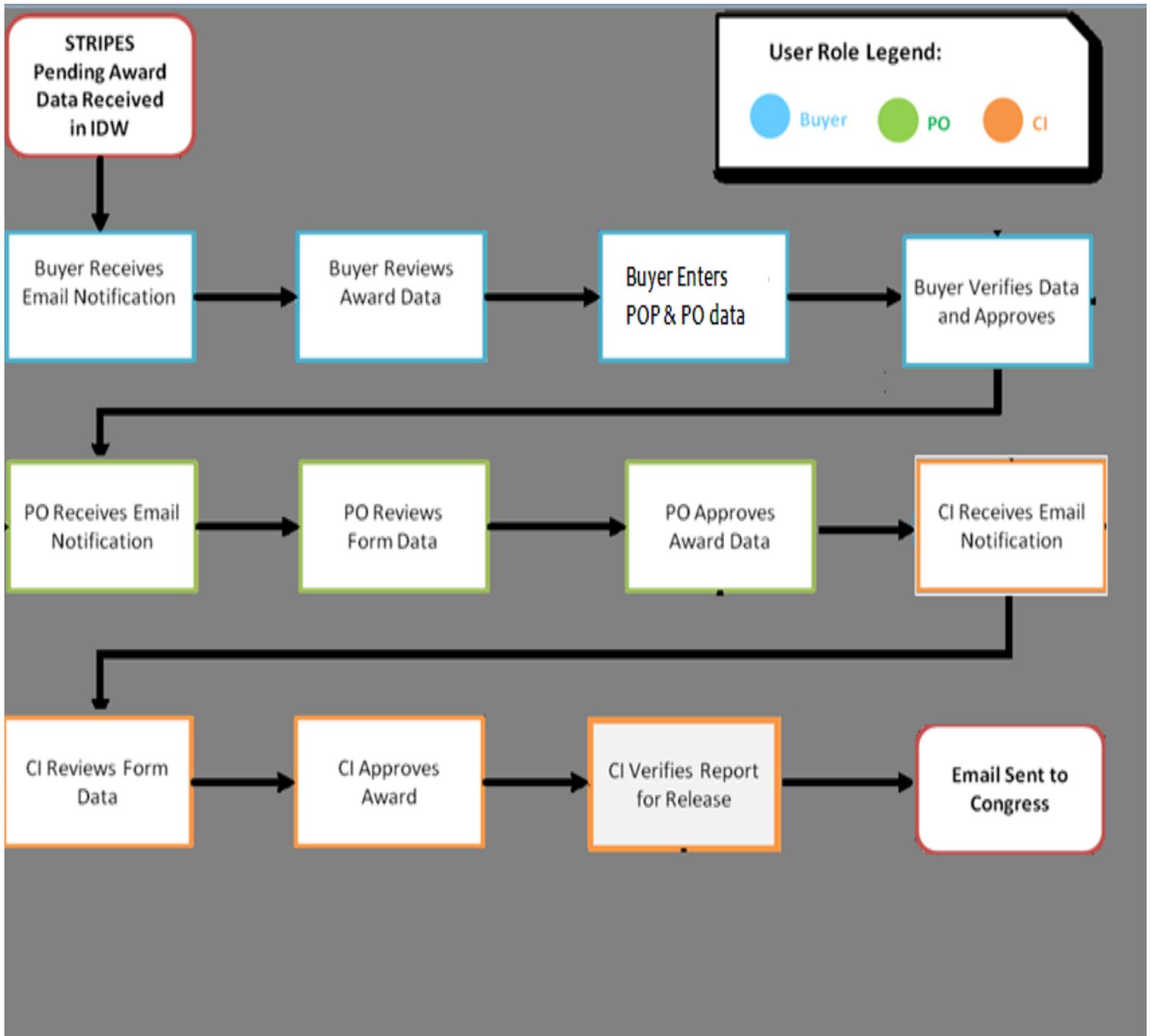
Buyer:

The Contracting Officer (CO) or/and the Contract Specialist (CS)

PO:

 The Program Office representative who approves the congressional notification

CI:

Congressional Grant/Contract Notification Coordinator

ANA Approval Process Flow

Accessing the ANA system

Buyers, PO, and the CI will receive a notification via email when there are pending award notifications to review. Select the link in the email to the online form that mimics the physical 4220.10 document. Please see an example of the 4220.10 Congressional Grant/Contract Notification web form below, on page 8.

 ANA can also be accessed via the home page of the iPortal by selecting the shortcut on the right side.

When visiting the web application directly, a list of Active and Inactive items will be presented on the home screen. The number of active and inactive items is listed in parenthesis, (n), to the right of each name.

Accessing ANA through the ANA web application

The ANA home page is displayed when a user clicks on the URL above, or selects the Home button from the bottom of the 4220.10 form. The home page is divided in 4 sections. Please see the section descriptions below.

Active/Inactive Queue	Active (3) Inactive (1) Document Number Vendor Name ANA Anticipated Award Date EE0006190 HOUSING AND COMMUNITY DEVELOPMENT, VIRGINIA DEPT OF -	The number of Active and Inactive items is listed in parenthesis, (n), to the right of each section name. **Active Queue**: Displays documents that require your attention. **Inactive Queue**: Displays documents that you have taken action on. These documents do not require any further action.
Status Legend	**Status Legend** Document Waiting for Approval Document Waiting for Modification Document Rejected as Non-Reportable Document Approved for Congress	Each document presented in the Active/Inactive Queue will be highlighted in one of the following colors: • **Green**: Waiting for Approval • **Yellow**: Waiting for Modification • **Red:** Rejected as Non- Reportable • **Blue:** Approved
Search	**Search Active Documents** Clear Search	Search for documents within the Active and Inactive Queues. The search option will only query items in the Queue that is expanded on the screen. Fields included in the search: Document Number, Vendor Name, Program Office, and Award Date.
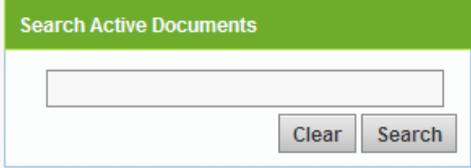
The form below will be shown after selecting the link in the notification email or selecting the document from the ANA homepage.

ANA *Advanced Notification of Award*

Review the information to ensure it is correct, and fill in any required fields. If any changes are necessary that cannot be modified through this form, go make the changes in STRIPES, then reload the page. Click the "Approve" button when you are satisfied that the information is correct.

Source Selection Information - See FAR 2.101 and 3.104

LP0000059   Document History +

1. Procuring Office:	Loan Guarantee Program Office	2. Program Office/Project Office:	- Select Program Office - ∨
Name:	Linda Vawter *(Procurement Office Representative)*	Name:	
Telephone:	202-586-0093	Telephone:	

3. Contractor, Grantee, or Offeror:		4. Place of Performance:	Required if different from #3
Name:	PROSUN PROJECT COMPANY, LLC	Street:	
Street:	4545 AIRPORT WAY		
City:	DENVER	City:	
State:	CO	State:	
Zip:	802395716	*Zip:	802395716

5. ANA Anticipated Award Date:

Date of Public Announcement (if any):

6. Contract, Grant, or Other Agreement No.: LP0000059

*Specify Type of Instrument: ◉ Modification ○ Renewal ○ Termination

Award Type: Unavailable

7. Obligated Cost or Price of this Action:	-$1,400,000,000.00
Estimate Cost or Price of Total Contract:	$0.00
Recipient Cost Sharing (if applicable):	$0.00

Total to Date: $0.00

Does this award result from an Invitation for Bid? ○ Yes ☑ No

(For incrementally funded projects only. Report the initial obligation and total estimated contract value.)

8. Duration of Contract, Grant, or Other Agreement:

From: 09/28/2011

To: 09/27/2016

9. Brief Description

TAS::89 0209::TAS PROSUN PROJECT COMPANY LOAN F1029. Mod 001 - Correction of Issuing, Administration and Sponsoring Offices.

Source Selection Information - See FAR 2.101 and 3.104

[Home]   [Print Form] [Approve] [Reject]

4220.10 Congressional Grant/Contract Notification web form

Termination Guidelines

- As per policy, before issuing a termination, regardless of termination type, the contracting activity must manually complete DOE form 4220.10 and submit the form before issuing either (1) a contract termination, based on the original contract value of $4 million or more, or (2) a financial assistance award termination, based on the original "Total Award" value of $2 million or more.
- When the user hovers the mouse over the "Termination" field a pop-up window with instructions appears as displayed below. The user selects the "OK" button to exit the instructions.

Approving Notifications

When there is pending award information to review, the Buyer receives an email notification and a link to access the ANA Web Application 72 hours prior to the award date. The Buyer receives a follow up email 24 hours after the initial 72 hour notification reminding them to take action on the notification (should they not take action at the initial 72 hour release).

Role Specific Instructions	
Buyer	• The Buyer reviews the award information for accuracy and completeness of the STRIPES data that is transferred to IDW/iPortal. • The Buyer must choose the Program Office/Project Office code for the award to be routed through. If this field is not selected the document will not be able to move on to the next stage of the approval process. • The Buyer will verify the Place of Performance information in block 4. If this information is incorrect or incomplete the Buyer will need to fill in this block. For this block the only field required is the Zip Code, but should be filled out in its entirety if different from the awardee address in block 3. • If a state is recorded then the state must be the two letter state code. • To assist with finding the 9-digit zip code Buyers may use the UPS search accessible by using the magnifying glass adjacent to the zip code entry box. • If the Buyer enters a 9-digit zip code that is valid the process will continue throughout the workflow. • If the system finds a match for the first 5 numbers of the zip code, but not the last 4 numbers: The buyer is presented with an on screen notification stating that an exact match could not be made, the system will use the 5 digit zip code provided, but multiple congressional representatives may receive the notification. Do you want to continue? • If the 9-digits cannot be verified in the system, The buyer is presented with an on screen notification stating that no matching zip code could be found. Continuing will send the congressional notification to a CI representative for final distribution.

4. Place of Performance: Required if different from #3
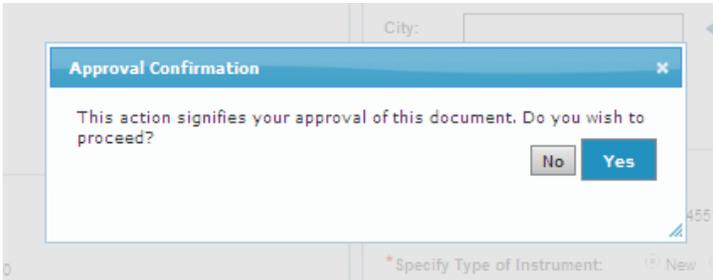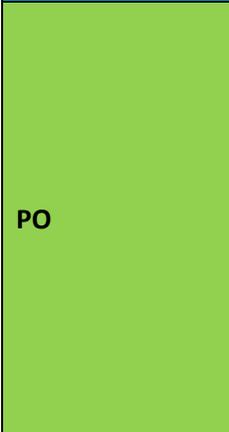
Street:

City:

State:

*Zip:

- If the Pending Award is a Financial Assistance (FA) and is not a New Award, the Buyer is required to select 'Renewal' or 'Modification' (Block 6).

*Specify Type of Instrument: ⊙ Modification   ○ Renewal
                                           ○ Termination

- Once all information is validated and/or entered the Buyer clicks on the blue **Approve** Button.
- An additional box dialog will display the approval confirmation. Click the blue **Yes** Button to confirm approval.

Approval Confirmation   ✕

This action signifies your approval of this document. Do you wish to proceed?

          No   Yes

- A notification is sent to the PO for approval.

PO

- The PO reviews the award information for accuracy and completeness.
- If the information is correct, the PO clicks on the blue **Approve** Button at the bottom of the screen.

Print Form   Approve   Reject

- An additional dialog box will pop-up, requesting approval confirmation. The PO may also select a **Delay Date** here to delay the notification to the CI. Click the blue **Yes** button to confirm approval. If a delay date is selected, CI will inform the buyer by phone call or email.
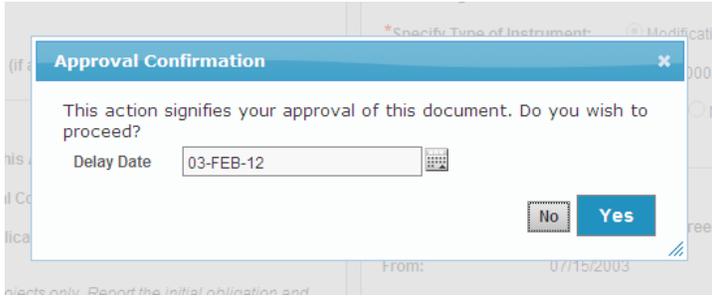
- A notification is sent to the CI for approval.
- **NOTE:** If a PO representative does not act on a notification within 24 hours, it will automatically be approved and sent to the CI.
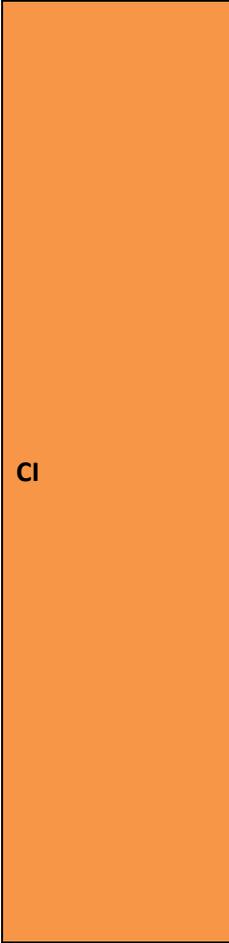
CI

- The CI reviews the award information for accuracy and completeness.
- If the information is correct the CI clicks on the blue **Approve Button**.

- An additional approval dialog box will pop-up requesting approval confirmation. The CI may also select a **Delay Date** here in order to delay the email to congressional representatives. Click the blue **Yes** button to confirm approval. If a delay date is selected, CI will notify the Buyer by phone or email of the date change.
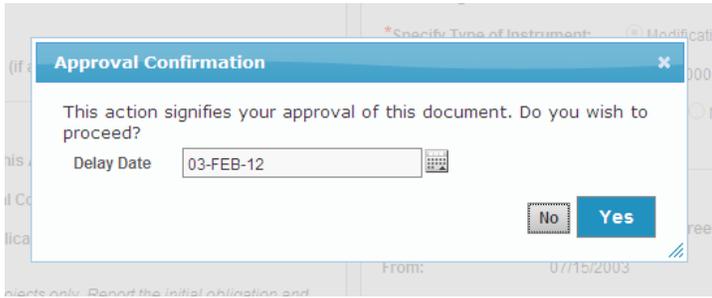

- The notification is placed in an "Approved – pending" notification state, per the daily summary report. Once the CI representative reviews the summary report and approves the notifications, then it will be released for congressional review.
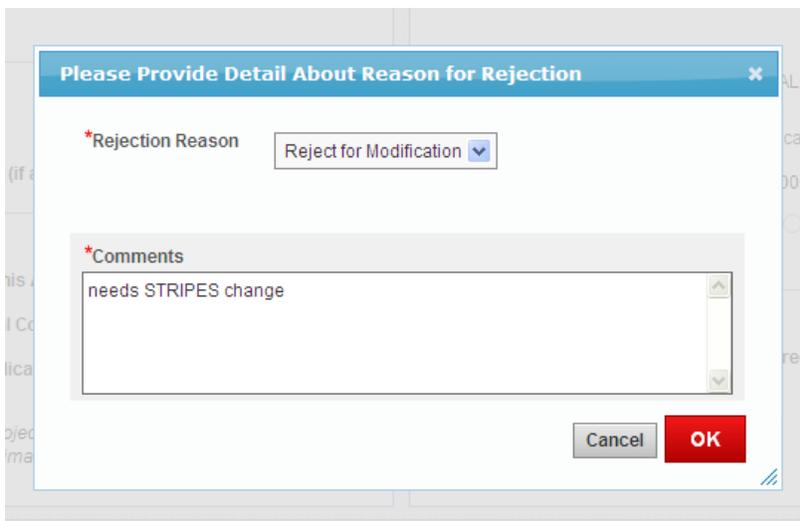
Rejecting Notifications

To Reject a Form, click on the red **Reject Button** at the bottom of an award notification form.

Note: Provide one of the following reasons for rejecting the form.

- **Not Reportable**: The approver has indicated that this is not reportable to congress. The Pending Award is displayed in the **Inactive** area of the Web Application accordion, for reference as needed.

- **Reject For Modification**: The approver has determined that there needs to be a data modification in STRIPES before the notification can be approved.
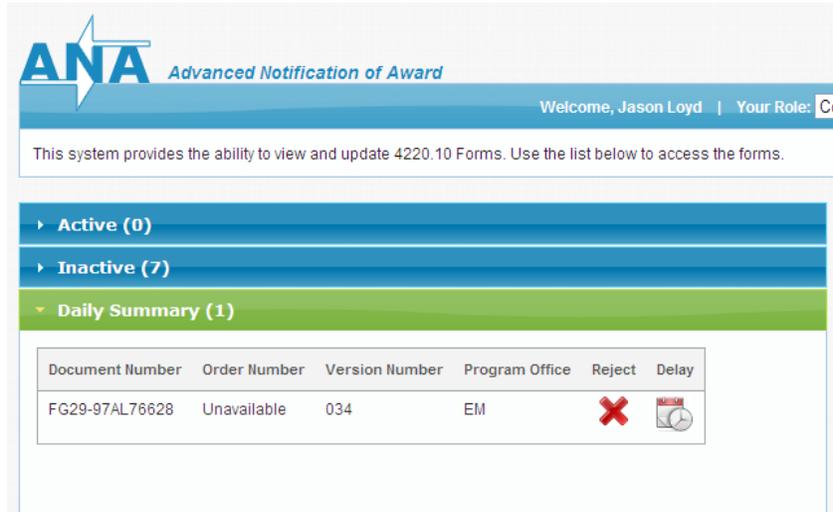

In addition, a brief description of rejection is required in the accompanying comment field. Please provide extensive details as to why the document is being rejected. Click the red **OK** Button to confirm the rejection.

Note: When rejecting a notification, email notifications which include the reason for rejections are sent to all relevant parties.

Role Specific Instructions	
Buyer Rejects	• When a document is rejected for modification, it will show up in the Buyer's active queue in yellow. In addition the Buyer will receive an email that the Form was Rejected for Modification. • The Buyer makes the necessary changes and must approve again. • If the notification requires STRIPES changes, the Buyer must go make the changes in the STRIPES system, and then click on the blue **STRIPES changes made** button on the form. • The document drops off the Buyer's list and is placed in the inactive queue. • After ensuring that the STRIPES changes occurred as expected, the Buyer can now approve the document.
PO Rejects	• A notification will be sent to the Buyer to update information as necessary. The PO will receive a notification again when the document is ready for review.
CI Rejects	• A notification will be sent to the PO and the Buyer. The Buyer will update information as necessary. The CI will receive a notification again when the document is ready for review.

Daily Summary Report

CI Specific Instructions	
CI Daily Role/ Summary Report	In addition to Active and Inactive items sections, the CI will also have the **Daily Summary** section available. This is a list of documents which will be sent to Congress daily. CI can reject or delay them by using the buttons in the below screenshot.

Summary Report:

The process of generating a Summary Report and sending it to CI can be done in two ways as below:

1. The CI POC has the option of clicking the **"Send Summary Report to CI"** button in the **Daily Summary** section shown in the above screen shot and the ANA Summary report is generated as a PDF document and sent via an email to all Users with the CI role.

2. The ANA Summary report is systematically generated as a PDF document and sent via an email to all Users with the CI role at 3:00 PM Eastern Time every day.

Below is the screen shot of the Summary Report:

Document Number	Name	City	State	Zipcode	Reporting Office	Program Code	Contract / Grant	Obligated Costs	Total Est. Costs	Award Description	Award Date	Notification Date
SC0004079	CORNELL UNIVERSITY, INC	ITHACA	NY	14850-2820	Office of Science - Chicago	SC	Grant	$1,700,000	$4,775,000	Versatile, Reprogrammable Area Pixel Array Detector for Time-Resolved Synchrotron X-ray Applications	8/15/2013	8/15/2013
SC0004600	UNIVERSITY OF OKLAHOMA	NORMAN	OK	73019-0430	Office of Science - Chicago	SC	Grant	$822,000	$5,640,389	TAS::89 0222::TA9 Center for Interfacial Reaction Engineering	8/11/2013	8/15/2013

- The Summary Report contains all ANA documents approved by CI that have future Notification Dates and have not yet sent to congress.
- No "Rejected" documents shall be included on the Summary Report
- Once the CI POC has the ANA Summary Report, they shall distribute to the Public Affairs (PA), CFO ExCo, and the Office of the Secretary for verification.
- These personnel review the ANA Summary Report and shall notify the CI POC using the existing process if a particular document on the Summary Report should be "Delayed" or "Rejected"
- Should a "Rejection" occur at that point, the CI POC shall go to the Daily Summary Section of the Web Application and click the "Reject" button for the relevant document as shown in the next page:

Additional System Tools: Document History

Within the ANA system there is a green **Document History** button on the top right of the form. All historical states of a document can be viewed via the panel that expands out from the top. Simply click on the Pencil Icon to the left of any of a document line item to view an older version of the document before modification or status change.

Manual Submission:

Manual Reporting is required:

- Before issuing a termination (Regardless of termination type, the contracting activity must manually complete DOE form 4220.10 and submit the form before issuing either (1) a contract termination, based on the original contract value of $4 million or more, or (2) a financial assistance award termination, based on the original "Total Award" value of $2 million or more.);

- An action falls outside the normal reportable actions and dollar thresholds;

- Is a subcontract level action and a press release is to be issued by the Department of Energy (DOE); or

- Is a subcontract level action which is known to have been the subject of a Congressional inquiry.

Manual reporting is done by completing and submitting (**in PDF format**) form DOE F 4220.10, Congressional Grant/Contractor Notification, 3 calendar days in advance of the anticipated date of the award or modification in accordance with the outline of Reportable Actions.

In the event that a manual submission is necessary, the Buyer is asked to submit the Congressional Grant/Contract Notification (DOE 4220.10) form to the Congressional Intergovernmental office via email to CI-ANA@hq.doe.gov . A blank 4220.10 form can be obtained by visiting the link below.

Click here to access the Congressional Grant/Contract Notification form

The Contract Notification Coordinator can be contacted at 202-586-5450 to confirm receipt of the form; to report that an action did not process as planned; or for further information.

Additional Support:

iManage Help Desk Support:

(301) 903-2500 and selecting Option 4, Option 1, Option 1
Or
(866) 834-6246 and selecting Option 4, Option 1, Option 1
Or
I-MANAGE.EAS@hq.doe.gov

Help Desk Hours of Operation

Monday-Thursday (8:00 AM - 7:00 PM ET)
Friday (8:00 AM- 6:00 PM ET)

Congressional Affairs Support:

Robert Tuttle

Robert.Tuttle@hq.doe.gov

202-586-4298